



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/676,628 Confirmation No.: 7844  
Applicant : Ying Wen Hsu  
Filing Date : 09/30/2003  
Title : LOW LOSS OPTICAL SWITCHING SYSTEM  
Group Art Unit : 2882  
Examiner : Unknown  
Docket No. : 703427.4002  
Customer No. : 34313

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

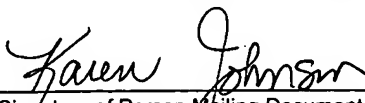
In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. None of the items listed on the attached forms PTO-1449 are attached. These items were all cited in the parent applications, Serial No. 10/052,829 and Serial No. 09/837,829 (U.S. Patent No. 6,647,170).

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CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: February 3, 2004

  
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Signature of Person Mailing Document

DOCSOC1:147044.1

Applicant : Ying Wen Hsu  
Appl. No. : 10/676,628  
Examiner : Unknown  
Docket No. : 703427.4002

**INFORMATION DISCLOSURE STATEMENT FILING PROVISION:**

■ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

■ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

Applicant : Ying Wen Hsu  
Appl. No. : 10/676,628  
Examiner : Unknown  
Docket No. : 703427.4002

**STATEMENT UNDER 37 CFR § 1.97(e):**

☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.

☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).

☐ Please charge \_\_\_\_\_ to Deposit Account No. **15-0665** for the above fee(s).

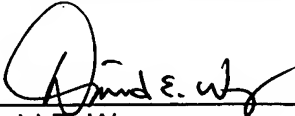
☒ The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Orrick, Herrington & Sutcliffe's Deposit Account No. **15-0665**.

Respectfully submitted,

ORRICK, HERRINGTON & SUTCLIFFE LLP

Dated: February 2, 2004

By: \_\_\_\_\_

  
David E. Wang  
Reg. No. 38,358

ORRICK, HERRINGTON & SUTCLIFFE LLP  
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949/567-6700 Telephone  
949/567-6710 Facsimile

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOC  
263/176

NO.

SERIAL NO.  
09/837,829APPLICANT:  
YING W. HSUFILING DATE:  
April 17, 2001GROUP:  
2633

IDS for 10/052,829

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
JB	AA	4,693,547	09/1987	Soref et al.	350	96.13	
JB	AB	5,235,672	08/1993	Carsin	395	24	
JB	AC	5,245,458	09/1993	Taylor	359	108	
JB	AD	5,757,986	05/1998	Crampton et al.	385	2	
JB	AE	5,761,350	06/1998	Koh	385	14	
JB	AF	5,828,800	10/1998	Henry et al.	385	20	
JB	AG	5,923,798	07/1999	Aksyuk et al.	385	19	
JB	AH	5,990,473	11/1999	Dickey et al.	250	231.13	
JB	AI	6,072,924	06/2000	Sato et al.	385	18	
JB	AJ	6,137,941	10/2000	Robinson	385	140	
JB	AK	6,148,124	11/2000	Aksyuk et al.	385	24	
JB	AL	6,205,267 B1	03/2001	Aksyuk et al.	385	19	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO	
JB	AM	EP 1,004,910 A2	05/2000	EP	G02B	6/35	X	

OC96922.v1

EXAMINER:

*Shelley Barker*

DATE CONSIDERED:

*27 June 2002*

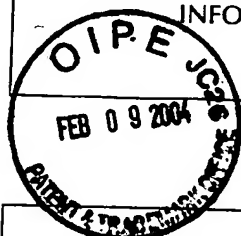
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Draw line through citation if not in conformance and not considered. Include a copy of this form with next  
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LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
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ATTY. DO.  
263/176

NO.

SERIAL NO.  
09/837,829APPLICANT:  
YING W. HSUFILING DATE:  
April 17, 2001GROUP:  
2633

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.†	Include name of the author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	2
JB	A1	Benaissa, K.; and Nathan, A.; "Silicon Anti-Resonant Reflecting Optical Waveguides for Sensor Applications;" <i>Journal of Sensors and Actuators (A Physical)</i> , Vol. A65, 33-44, 1998	
JB	A2	Broekemoto, Takuji; Noguchi, Yutaka; et al.; "Polyimide Optical Waveguides With Multi-Fan-Out for Multi-Chip Module Application;" <i>Proceedings of the 27<sup>th</sup> European Solid-State Device Research Conference, France, September 22-24, 1997</i>	
JB	A3	Brown, K.S.; Taylor, B.J.; Dawson, J.M.; Hornak, L.A.; "Polymer Waveguide Co-integration With Microelectromechanical Systems (MEMS) for Integrated Optical Metrology;" <i>Proceedings of the SPIE (The International Society for Optical Engineering)</i> , Vol. 3276, 1998	
JB	A4	Burcham, Kevin E.; and Boyd, Joseph T.; "Freestanding, Micromachined, Multimode Silicon Optical Waveguides at $\lambda = 1.3 \mu\text{m}$ for Microelectromechanical System Technology;" <i>Journal of Applied Optics</i> , Vol. 37, No. 36, 20 December 1998	
JB	A5	Churenkov, A.V.; "Silicon Micromechanical Optical Waveguide for Sensing and Modulation;" <i>Journal of Sensors and Actuators (A Physical)</i> , Vol. A57, No. 1, October 1996	
JB	A6	Cook, J.P.D.; Este, G.O.; Shepherd, F.R.; et al.; "Stable, Low-Loss Optical Waveguides and Micromirrors Fabricated in Acrylate Polymers" <i>Applied Optics Journal</i> , Vol. 37, No. 7, March 1, 1998	
JB	A7	Cornett, Kimberly T.; Heritage, Jonathan P.; Solgaard, Olav; "Compact Optical Delay Line Based on Scanning Surface Micromachined Polysilicon Mirrors;" <i>2000 IEEE/LEOS International Conference on Optical MEMS, Kauai, Hawaii, August 21-24, 2000</i>	
JB	A8	de Labachellerie, M.; Kaou, N.; et al.; "A Micromachined Connector for the Coupling of Optical Waveguides and Ribbon Optical Fibers;" <i>Journal of Sensors and Actuators (A Physical)</i> , Vol. A89, No. 1-2, March 20, 2001	
JB	A9	Eng, Terry T.H.; Kan, Sidney C.; and Wong, George K.L.; "Voltage-Controlled Micromechanical SOI Optical Waveguides;" <i>IEEE TENCON, IEEE Region 10 International Conference on Microelectronics and VLSI - "Asia Pacific Microelectronics 2000" - Proceedings, 1995</i> 12/09/02 JB	
JB	A10	Eng, Terry T.H.; Kan, Sidney C.; and Wong, George K.L.; "Surface-Micromachined Epitaxial Silicon Cantilevers as Movable Optical Waveguides on Silicon-on-Insulator Substrates;" <i>Journal on Sensors and Actuators A, Physical</i> , Vol. A49, No. 1-2, June 1995	
JB	A11	Eng, Terry T.H.; Kan, Sidney C.; and Wong, George K.L.; "Surface-Micromachined Movable SOI Optical Waveguides;" <i>Proceedings of the International Solid-State Sensors and Actuators Conference - Transducer, 1995</i>	
JB	A12	Gorecki, Christopher; "Optimization of Plasma-Deposited Silicon Oxinitride Films for Optical Channel Waveguides;" <i>Journal of Optics and Laser Engineering</i> , Vol. 33, No. 1, January 2000	
JB	A13	Haronian, D.; "Bottlenecks of Opto-MEMS;" <i>SPIE Proceedings - Micro-Opto-Electro-Mechanical Systems, Glasgow, UK, May 22-23, 2000</i>	

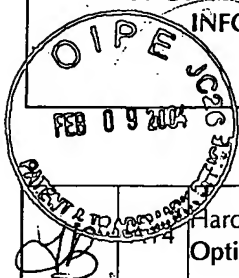
EXAMINER:

DATE CONSIDERED:

22 June 2002

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FORM PTO-1449  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCI NO. 263/176	SERIAL NO. 09/837,829
	APPLICANT: YING W. HSU	
	FILING DATE: April 17, 2001	GROUP: 2633



SB	A14	Haronian, D.; "Displacement Sensing Using Geometrical Modulation in Reflection Mode (GM-RM) of Coupled Optical Waveguides;" <i>Journal of Micromechanics and Microengineering</i> , Vol. 8, No. 4, December 1998	
SB	A15	Haronian, D.; "Suspended Optical Waveguide With In-Plane Degree of Freedom or Microelectro-Mechanical Applications;" <i>Electronics Letters</i> , Vol. 34, No. 7, 2 <sup>nd</sup> April 1998	
SB	A16	Hoffmann, Martin; Kopka, Peter; and Voges, Edgar; "Thermooptical Digital Switch Arrays in Silica-on-Silicon With Defined Zero-Voltage State;" <i>Journal of Lightwave Technology</i> , Vol. 16, No. 3, March 1998	
SB	A17	Jin, Young-Hyun; Seo, Kyoung-Sun; et al.; "An SOI Optical Microswitch Integrated With Silicon Waveguides and Touch-down Micromirror Actuators;" 2000 IEEE/LEOS International Conference on Optical MEMS, 21-24 August, 2000	
SB	A18	Koyanagi, Mitsumasa; "Optical Interconnection Using Polyimide Waveguide for Multi-Chip Module;" <i>Proceedings of SPIE, Society of Photo-Optical Instrumentation Engineers, San Jose, CA, 1996</i>	
SB	A19	Kruger, Michiel V.P.; Guddal, Michael H.; et al.; "Low Power Wireless Readout of Autonomous Sensor Wafer Using MEMS Grating Light Modulator;" 2000 IEEE/LEOS International Conference on Optical MEMS, Kauai, Hawaii, August 21-24, 2000	
SB	A20	Kuwana, Yasuhiro; Hirose, Akinori; Kurino, Hiroyuki; et al.; "Signal Propagation Characteristics in Polyimide Optical Waveguide With Micro-Mirrors for Optical Multichip Module;" <i>Japanese Journal of Applied Physics</i> , Vol. 38, No. 4B, April 1999	
SB	A21	Makihara, M.; "Microelectromechanical Intersecting Waveguide Optical Switch Based on Thermo-Capillarity;" 2000 IEEE/LEOS International Conference on Optical MEMS, Kauai, Hawaii, August 21-24, 2000	
SB	A22	Makihara, M.; Sato, Makoto; Shimokawa, Fusao; et al.; "Micromechanical Optical Switches Based on Thermocapillary Integrated in Waveguide Substrate;" <i>Journal of Lightwave Technology</i> , Vol. 17, No. 1, January 1999	
SB	A23	Makihara, M.; Shimokawa, F.; and Nishida, Y.; "Self-Holding Optical Waveguide Switch Controlled by Micromechanism;" <i>IEICE Trans. Electronics (Japan)</i> , Vol. E80-C, No. 2, February 1997	
SB	A24	Maoisel, J.; Guttman, J.; Huber, H.P.; et al.; "Optical Backplanes With Integrated Polymer Waveguides;" <i>Journal of Optical Engineering</i> , Vol. 39, No. 3, March 2000	2/09/02 SB
SB	A25	Maruo, Shoji; Ikuta, Koji; and Ninagawa, Toshihide; "Multi-Polymer Microstereolithography for Hybrid Opto-MEMS" has the same information as "Advanced Micro Stereolithography with Multi UV Polymers (System Development and Application to Three-Dimensional Optical Waveguides)," which is written in Japanese; <i>Journal of Transactions of the Institute of Electrical Engineers of Japan, Part E</i> , Vol. 120-E, No. 7, July 2000	
SB	A26	Matsumoto, Takuji; Kuwana, Yasuhiro; Hirose, Akinori; "Polyimide Optical Waveguide With Multi-Fan-Out for Multichip Module System;" <i>Proceedings from the Optoelectronic Interconnects V</i> , Vol. 3288, San Jose, CA January 28-29, 1998	
SB	A27	Matsumoto, Takuji; Fukuoka, Takeshi; Kurino, Hiroyuki; et al.; "Polyimide Optical Waveguide With Multi-Fan-Out for Multi-Chip Module Application;" <i>Proceedings of the 27<sup>th</sup> European Solid-State Device Research Conference, France, September 22-24, 1997</i>	

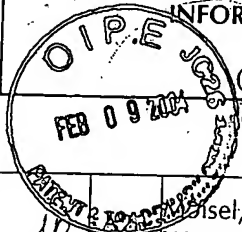
EXAMINER: <i>Sherry Barber</i>	DATE CONSIDERED: <i>27 June 2002</i>
EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOC.  
263/176

NO.

SERIAL NO.  
09/837,829APPLICANT:  
YING W. HSUFILING DATE:  
April 17, 2001GROUP:  
2633

SB		Isel, Jorg; Guttman; Joachim; Huber, Hans-Peter; "Optical Backplanes With Integrated Polymer Waveguides," <i>Journal of Optical Engineering</i> , Vol. 39, No. 3, March 2000	
SB	A29	Mueller, Raluca; Pavelescu; and Manea, Elena; "3D Microstructures Integrated With Optical Waveguides and Photodiodes on Silicon," <i>MELECOB 1998 9th Mediterranean Electromechanical Conference Proceedings</i> , Vol. 1; May 18-20, 1998	
SB	A30	Namba, Tohru; Uehara, Akihito; et al.; "High-Efficiency Micromirrors and Branched Optical Waveguides on Si Chips," <i>Japanese Journal of Applied Physics, Part 1</i> , Vol. 35, No. 2B, August 21-24, 1995	
SB	A31	Oillier, Eric; Chabrol, Claude; et al.; "1 x 8 Micro-Mechanical Switches Based on Moving Waveguides for Optical Fiber Network Switching," <i>2000 IEEE/LEOS International Conference on Optical MEMS</i> , August 21-24, 2000	
SB	A32	Ollier, Eric; and Mottier, P.; "Micro-Opto-Electro-Mechanical Systems: Recent Developments and LEIT's Activities," <i>Proceedings of the SPIE - The International Society for Optical Engineering</i> , Vol. 4076, May 22-24, 2000	
SB	A33	Shubin, I.; and Wa, P.L.K.; "Electrostatically Actuated 1 x 2 Micro-Mechanical Optic Switch," <i>Electronics Letters</i> , Vol. 37, No. 7; March 29, 2001	
SB	A34	Storgaard-Larsen, Torben; "Plasma-Enhanced Chemical Vapor Deposited Silicon Oxynitride Films for Optical Waveguide Bridges for Use in Mechanical Sensors," <i>Journal of the Electromechanical Society</i> , Vol. 144, No. 4, April 1997	
SB	A35	Voges, E.; Hoffmann, M.; "FB1 Optical Waveguides on Silicon Combined With Micromechanical Structures," <i>Advanced Applications of Lasers in Materials and Processing; LEOS Summer Optical Meeting, 1996; IEEE, Piscataway, New Jersey, 96TH8154</i>	
SB	A36	Yokoyama, S.; Nagata, T.; and Kuroda, Y.; et al.; "Optical Waveguides on Silicon Chips," <i>Journal of Vacuum Science &amp; Technology A</i> , Vol. 13, No. 3, May-June 1995	

EXAMINER:

Sherry Barbe

DATE CONSIDERED:

22 June 2002

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant

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FORM PTO-1449

ATTY. DOCKET NO.

SERIAL NO.

703427.7

09/837,817

APPLICANT:

Ying W. Hsu

FILING DATE:

April 17, 2001

GROUP:

2874

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AB	AA	5,278,692	01/11/1994	Delapierre	359	236	09/04/1992
AB	AB	5,357,590	10/18/1994	Auracher	385	33	04/07/1993
AB	AC	5,612,815	03/18/1997	Labeye et al.	359	320	01/11/1996

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
AB	AD	58068702	04/23/1983	Japan (Abstract only)	C02F	1/00	X	
AB	AE	DE 3817035 C1	08/17/1989	Germany	G02B	6/24	X	
AB	AF	06109990	04/22/1994	Japan (Abstract only)	G02B	26/08	X	
AB	AG	WO 01/77742 A2	10/18/2001	WIPO	G02F	1/00	X	

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EXAMINER:

Sung H. Pak

DATE CONSIDERED:

4 April 2003

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Information Disclosure Statement - Section 9 PTO-1449

Page 1 of 1

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PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/837817
				Filing Date	04/17/2001
				First Named Inventor	Hsu
				Group Art Unit	2874
Examiner Name	S. Pak				
Sheet	1	of	1	Attorney Docket Number	703427.7

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publications of Cited Documents MM-DD-YYYY
		Number	Kind Code <sup>2</sup>		
	AA	6,101,299		Laor	8/8/2000

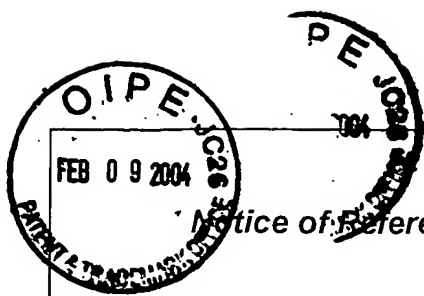
FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publications of Cited Documents MM-DD-YYYY		T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup>				
	BA	JP	10-227986		Horino et al.	8/25/1998		T

Examiner Signature	DOCSOC1:137855.1	Date Considered	
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent documents. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Notice of References Cited

Application/Control No.

10/052,829

Applicant(s)/Patent Under  
Reexamination  
HSU ET AL.

Examiner

Therese Barber

Art Unit

2882

Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-6,388,789 B1	05-2002	Bernstein	359/198
*	B	US-5,920,665	07-1999	Presby	385/16
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
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	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
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	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.